

Deputy Assistant Secretary for Diversity Management and EEO (06)

Guidance for Developing and Submitting the annual Affirmative Employment Program Report and AEP Plan Update to the Equal Employment Opportunity Commission

Thru: Assistant Secretary for Human Resources and Administration (006)

To: Addressees

1. This memorandum transmits guidance for developing and submitting the annual Affirmative Employment Program (AEP) Report, which includes the AEP Plan Update.
2. The instructions for preparing the annual AEP Report have been developed in accordance with Equal Employment Opportunity Management Directive 714 (EEO-MD-714), issued by EEOC on October 6, 1987, and the EEOC memorandum dated August 23, 1991 (Subject: EEO-MD-714 Accomplishment Reports). In a letter dated September 29, 1994, the EEOC extended the coverage of EEO-MD-714 until otherwise notified.
3. Please distribute the attached instructions to persons in your organization who are responsible for preparing or providing input to the AEP Report. These instructions and any subsequent updates will be posted on our website, www.va.gov/dmeeo.
4. EEO-MD-714 requires that an AEP Report be developed and sent to them by:
 - a. "Major Operating Components," the "organizational sub-unit directly below the agency (department) level," which at VA means VACO, Administrations and organizations;
 - b. "Regions," which at VA means VHA VISNs, VBA Areas, and NCA MSNs;
 - c. "Installations with 2000 or More Employees," which at VA is based on the number of full/part time permanent employees.

Administrations and organizations may direct additional subordinate organizations to develop an AEP Report if it is needed to administer the Administration AEP program. All facilities producing an AEP report should do so in accordance with VA's internal instructions (see Attachment A) to implement VA's national AEP goals (see Attachment B).

5. Administrations and organizations should coordinate implementation of VA's national AEP goals and program initiatives across field facilities so there is a systematic effort to eliminate national underrepresentation, to assure diversity in the leadership pipeline, and to increase the opportunity for individuals with disabilities, both in total employment and for major occupations.
6. Administrations and organizations should ensure that the individuals developing and producing AEP Reports:
 - a. Have access to the VSSC intranet site. The Workforce Information Systems Team (WIST), the group that issues the COIN PAID reports, has certified that the VSSC workforce reports are accurate and equivalent to COIN PAID reports.
 - b. Have reviewed the training videos, "How to Write an AEP Report" and "Guide to Conducting Workforce Analysis." These videos are broadcast frequently on the VALU

network. The schedule is available at the VA Learning Catalogue intranet site, <http://vaww.sites.lrn.va.gov/vacatalog/>. Training officers should make a copy of these broadcasts for facility use.

7. Administrations should maintain a current list of the EEO/diversity contact at each facility on Outlook, so that announcements can be systematically sent to these contacts by e-mail.
8. Administrations and organizations should submit a copy of their *consolidated* AEP Report for their entire organization to DM&EEO when they send their report to EEOC. VACO EEO Program Managers set the date by which their field units must submit their annual AEP Reports to them. Due dates should be set early enough in the fiscal year so that diversity data can be included in Human Capital and other strategic workforce plans.
9. DM&EEO will hold at least quarterly meetings with Administrations and organizations to facilitate coordination, provide any new guidance, and review the administration of the AEP Program.
10. If there are any questions or if assistance is needed, please have your staff contact Ms. Lenore H. Jacobs, EEO Program Manager, at (202) 273-5866.

Armando E. Rodriguez

Attachments

Addressees:

Under Secretary for Health (10)
Under Secretary for Benefits (20)
Under Secretary for Memorial Affairs (40)
Acting Assistant Secretary for Management (004)
Director, Headquarters Human Resources Service (035)

CCs

Deputy Assistant Secretary for Budget (041)
Deputy Assistant Secretary for Human Resources (05)
VHA EEO/Affirmative Employment Team (10A2E)
VBA EEO Manager (20M)
NCA EEO Manager (402D2)

INSTRUCTIONS FOR DEVELOPING AND SUBMITTING THE FY02 AEP REPORT

1. BACKGROUND

- a. The task of conducting the required statistical analysis of the work force has been dramatically changed by the introduction of the autoAEP reports, now available on the VA intranet. These and other workforce data reports can be generated at the VISN Support Service Center (VSSC) site (<http://vssc.med.va.gov>). The VSSC data reports start with the exact same onboard count as the traditional COIN PAID reports, but the defaults have been set to count full/part-time permanent employees.
- b. The U.S. Census is scheduled to publish occupation data from the 2000 Census in September of 2003, and EEOC will publish guidance on its use in governmental AEP programs at some point. VA is using the time until that new data and guidance are available as a transition period. VA's FY01 AEP Report introduced the use of 1990 Relevant Civilian Labor Force data (RCLF – as opposed to the PATCO CLF data previously required) for nationally advertised positions, and the use of data tools available on the VSSC site. The FY02 AEP Report will start facility implementation of the VA AEP Goals and introduce the autoAEP reports including systematic reporting on the leadership pipeline, significantly strengthening the workforce analysis. The FY03 AEP Report will place more emphasis on the accomplishment of the VA goals.
- c. In the last two years, VA has started taking more corporate responsibility for agency diversity management. For example, VA is now tracking diversity accomplishment at the Deputy Secretary's Monthly Performance Review meetings, and incorporating diversity goals in the Human Capital strategic plan. To support these changes, the FY02 AEP Report format has been streamlined to be more useful as an internal management tool, and the facility goals have been standardized to implement the national goals.

2. FY02 AEP REPORT FORMAT. The FY02 AEP Report should include the following elements in the order specified:

- a. **Cover page.** The layout and graphics of the AEP Report cover are at the discretion of the submitting entity, but must contain the following text:
Department of Veterans Affairs
Submitting Entity Name and Address
Affirmative Employment Program Report
Accomplishments for FY 2002
Goals for FY 2003
- b. **EEOC Form 568.** (see Attachment C) Count full/part-time permanent employees, drawn from the VSSC autoAEP reports. The back of this form should be blank.
- c. **Table of Contents.** Major sections of the AEP Report should be identified with corresponding page numbers. The back of the page should be blank.

- d. **Executive Summary.** Identify major diversity program initiatives and goals. Identify accomplishments, employment trends, problems, and barriers based on the data reported in the statistical analysis section (see g., below), referencing but not duplicating the detailed data in that section. Identify recruitment or developmental efforts coordinated between multiple facilities. The Executive Summary should generally not exceed two pages, and should lay the factual foundation for the diversity issues that should be addressed in the coming year.
- e. **Introduction.** Briefly identify the facility size and purpose. Briefly describe any significant FY02 changes in the organization. Identify the staffing of the EEO/diversity office, and their chain of command. Identify any significant FY02 diversity policy issuances or changes in procedures. Briefly describe the policy and actions for the prevention of sexual harassment. Briefly describe the EEO Complaint totals and trends, and reference any analysis of root causes. Identify VSSC reports as the source of the data, and that full/part-time permanent employees were counted. State how many permanent intermittent employees and how many temporary employees are also employed at the facility, and any associated diversity issues. Briefly describe any data available on training, executive development, upward mobility, and other programs with diversity implications. The introduction should be concise, but several pages long if necessary.
- f. **Acronyms and Terms.** Identify and define acronyms or technical terms that may not be familiar to readers. The list from the VA FY02 AEP Report may be used.
- g. **Statistical Analysis.** Insert the relevant autoAEP pages, including a page for the entity including all subordinate facilities and a separate page for each large subordinate facility, a page each for the race/national origin and gender groups, and a page for each major occupation. Major occupations should include large mission critical occupations, occupations with large underrepresentation, and occupations in which significant turnover is expected. In addition to these machine generated pages, include other VSSC workforce data reports if needed (for example, to enumerate large numbers of intermittent employees, or for in-depth analysis of important issues).
- h. **Annual Accomplishments Report.** Briefly report the outcome of each the FY02 goals. Emphasize net change, not activities. If there is little net change, identify the barriers. Accomplishments can be usually reported in one page, but in unusual cases two pages may be needed.
- i. **Annual Plan Update.** The FY03 goals should provide implementing steps for the VA 5-year Plan Goals and, in field facilities, reflect the coordination provided by the administration. Note that the VA 5-year Plan Goals bring together recruitment, leadership pipeline, and disability issues into a unified plan.
- j. **Noteworthy Activities/Initiatives.** The list should start with major initiatives. Routine examples of ongoing activities need not be identified. While no more than one page is required, facilities can provide additional pages if necessary.

- k. **Appendix.** While not required, this section is available if needed to include additional data tables, the full text of policies, itemized or detailed lists, or other documents that the facility deems to be relevant.
3. **GENERAL RULES.** The training video “How to Write an AEP Report” provides ten “New Directions” for developing the AEP Report. These are:
- a. Meet EEOC minimum requirements, but focus on VA needs.
 - b. Count permanent full-and part-time employees, not intermittent, temporary, non-pay status or Manila residents.
 - c. Analyze the data trends; don’t repeat the numbers.
 - d. Use autoAEP as the statistical analysis section. Use other VSSC reports for more in-depth analysis.
 - e. Nationally advertised vacancies must be compared to the RCLF (not PATCOB CLF), but regional variation is expected.
 - f. Coordinate your goals with HRM and managers in your facilities.
 - g. Coordinate your recruitment as widely as possible, at least at the VISN/MSN/Area level, and preferably across regions.
 - h. The administration summary is due to DM&EEO by the end of October. Field AEP analysis should be finished in time to incorporate in the Human Capital strategic plan.
 - i. Administrations should coordinate field implementation of national AEP goals, including VISN/MSN/Area expectations.
 - j. The dates on which AEP Reports are due to the administrations are set by the administrations.
 - k. Get ready for a new 5-year plan in 2004, with 2000 Census occupation data expected in the fall of 2003.

VA FY02 AEP Goals

These goals, starting in FY02, supercede all previous AEP Goals. Administrations and organizations should provide implementing steps in their FY03 AEP Plan.

1. Reduce underrepresentation by race, ethnicity, and gender each year until reaching RCLF parity in each occupation VA-wide.
 - a. Implement Executive Order 13171, "Hispanic Employment in the Federal Government."
 - b. At the national level, establish partnership agreements with organizations that can be a source of candidates of underrepresented groups in VA occupations.
 - c. At each Administration and Staff Office level, develop and implement a targeted recruitment plan for each mission-critical occupation with underrepresentation.
 - d. At each Administration and Staff Office level, coordinate recruitment efforts for underrepresented groups by occupation.
2. Ensure that there is an adequate supply of qualified candidates in the leadership pipeline to fill anticipated vacancies and overcome any underrepresentation by merit promotions.
 - a. At each Administration and Staff Office level, develop a succession plan for each major occupation, estimating turnover at each grade level.
 - b. Provide career development training, particularly in the grades needed to produce candidates for anticipated turnover.
3. Continue to support Executive Order 13163, "Increasing the Opportunity for Individuals with Disabilities to be Employed in the Federal Government."
4. At the national level, establish a system of data reports available on the VA intranet that facilitates workforce analysis, succession planning, and tracking progress in diversity goal accomplishment.
 - a. Train managers, supervisors, and HRM and Diversity/EEO staff in using these reports to conduct workforce and succession planning.

DM&EEO will provide the Deputy Secretary with metrics and analysis to assess the accomplishment of these AEP Goals. The Administrations and Staff Offices will develop internal measures as needed to track progress.

AFFIRMATIVE EMPLOYMENT PROGRAM FOR MINORITIES AND WOMEN

ANNUAL AFFIRMATIVE EMPLOYMENT PROGRAM ACCOMPLISHMENT REPORT

FOR FISCAL YEAR 2002

- =====
- * SUMMARY ANALYSIS OF WORKFORCE
 - * ACCOMPLISHMENT REPORT ON OBJECTIVES AND ACTION ITEMS
 - * NOTEWORTHY ACTIVITIES AND INITIATIVES
- =====

NAME OF ORGANIZATION

ADDRESS OF ORGANIZATION

ORGANIZATIONAL LEVEL: AGENCY ____ MOC ____ REGION ____
COMMAND ____ INSTALLATION ____ HEADQUARTERS ____

NUMBER OF EMPLOYEES COVERED BY PLAN: TOTAL ____
PROFESSIONAL ____ ADMINISTRATIVE ____ TECHNICAL ____
CLERICAL ____ OTHER ____ BLUE COLLAR ____

NAME OF CONTACT PERSON/PERSON PREPARING FORM TELEPHONE NO.

NAME AND TITLE OF PRINCIPAL EEO OFFICIAL:

SIGNATURE OF PRINCIPAL EEO OFFICIAL DATE
CERTIFIES THAT THIS REPORT IS IN COMPLIANCE WITH EEO-MD-714.

NAME AND TITLE OF HEAD OF ORGANIZATION OR DESIGNATED OFFICIAL

SIGNATURE OF HEAD OF ORGANIZATION OR DESIGNATED OFFICIAL
CERTIFIES THAT THIS REPORT IS IN COMPLIANCE WITH EEO-MD-714.